

## NEW JERSEY BUREAU OF SECURITIES

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Newark, NJ 07101

### Guide for Investment Company Notice Filings

The New Jersey Bureau of Securities accepts notice filings for Federally registered investment companies (mutual funds and unit investment trusts).

<b>Statutes and Regulations:</b>	<u>N.J.S.A.</u> 49:3-60.1 and 49:3-67(a); <u>N.J.A.C.</u> 13:47A-7.9
<b>Form for Initial Filing:</b>	Form NF (Uniform Investment Company Notice Filing) or SEC Registration Statement (with amendments & exhibits). All funds, trusts, series, and classes covered by a single Prospectus may be filed with the Bureau as a single filing.
<b>Fee:</b>	Mutual funds, \$500; Unit Investment Trusts, \$200. Make checks payable to New Jersey Bureau of Securities.
<b>Consent to Service:</b>	Form U-2, designating Chief of the Bureau of Securities. A Form U-2 is not needed for a renewal.
<b>Expiration Dates:</b>	Mutual fund notice filings expire the following June 30. UIT notice filings expire 18 months after filing.
<b>Renewals:</b>	File Form NF, with the assigned Bureau file number. The renewal fees are the same as the initial fees. The Bureau does <u>not</u> issue renewal forms. Filings not renewed will be automatically terminated.
<b>Amendments and Supplements:</b>	Amendments and supplements should be filed (without fee) to reflect changes in information. Please include Bureau file number on all correspondence.
<b>Additional Details:</b>	Face-amount certificate companies and continuously offered closed-end funds are treated as mutual funds.
<b>Distribution Arrangements:</b>	Each notice filing application must designate a New Jersey-registered broker-dealer or issuer agent.
<b>Electronic Filings:</b>	The Bureau accepts electronic filings only through designated providers of electronic filing services.
<b>Additional Information:</b>	For additional information, please call (973) 504-3661.